

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
/SMD/		6,115,697		Gottstein et al.	09-05-2000	
/SMD/		6,078,904		Rebane	06-20-2000	
/SMD/		6,018,722		Ray et al.	01-25-2000	
/SMD/		6,240,399		Frank et al.	05-29-2001	
/SMD/		6,161,098		Wallman	12-12-2000	
/SMD/		6,154,732		Tarbox	11-28-2000	
/SMD/		6,052,873		Leon et al.	04-18-2000	
/SMD/		6,064,985		Anderson	05-16-2000	
/SMD/		5,978,778		O'Shaughnessy	11-02-1999	
/SMD/		5,819,238		Fernholz	10-06-1998	
/SMD/		6,012,043		Albright et al.	01-04-2000	
/SMD/		6,012,044		Maggioncalda et al.	01-04-2000	
/SMD/		5,918,217		Maggioncalda et al.	06-29-1999	
/SMD/		5,819,263		Bromley et al.	10-06-1998	
/SMD/		5,987,433		Crapo	11-16-1999	
/SMD/		6,021,397		Jones et al.	02-01-2000	
/SMD/		5,930,774		Chennault	07-27-1999	

[illegible]

Examiner Signature	/Susanna M. Diaz/	Date Considered	04/02/2007
-----------------------	-------------------	--------------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**

Please type a plus sign (+) inside this box → ☐

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0851-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

Substitut for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Complete if Known</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td style="width: 50%;"></td> </tr> <tr> <td>Filing Date</td> <td>12/21/2001</td> </tr> <tr> <td>First Named Inventor</td> <td>Pruitt</td> </tr> <tr> <td>Group Art Unit</td> <td></td> </tr> <tr> <td>Examiner Name</td> <td></td> </tr> <tr> <td>Attorney Docket Number</td> <td>6476/53629</td> </tr> </table>		Application Number		Filing Date	12/21/2001	First Named Inventor	Pruitt	Group Art Unit		Examiner Name		Attorney Docket Number	6476/53629
Application Number															
Filing Date	12/21/2001														
First Named Inventor	Pruitt														
Group Art Unit															
Examiner Name															
Attorney Docket Number	6476/53629														
Sheet	2	of	2												

RECEIVED  
FEB 22 2002  
Technology Center 2100

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/SMD/		JEAN L.P. BRUNEL, "Tax-Aware Equity Investing", Association for Investment Management and Research.	
/SMD/		JEAN L.P. BRUNEL, "Tax-Aware Portfolio Construction," Association for Investment Management and Research.	
/SMD/		JEAN L.P. BRUNEL, "The Upside-Down World of Tax-Aware Investing," TRUSTS & ESTATES (Feb. 1997).	

Examiner Signature	/Susanna M. Diaz/	Date Considered	04/02/2007
--------------------	-------------------	-----------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

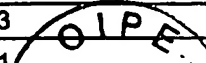
Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

**COPY OF PAPERS  
ORIGINALLY FILED**

Approved for use through 10/31/2002 OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO				<div> <div>Complete If Known</div> <table border="1"> <tr> <td>Application Number</td> <td>10/037,563</td> </tr> <tr> <td>Filing Date</td> <td>12/21/2001</td> </tr> <tr> <td>First Name and Inventor</td> <td>Pruitt</td> </tr> <tr> <td>Group Art Unit</td> <td>2164</td> </tr> <tr> <td>Examiner Name</td> <td></td> </tr> <tr> <td>Attorney Docket Number</td> <td>6476/53629</td> </tr> </table> </div>		Application Number	10/037,563	Filing Date	12/21/2001	First Name and Inventor	Pruitt	Group Art Unit	2164	Examiner Name		Attorney Docket Number	6476/53629
Application Number	10/037,563																
Filing Date	12/21/2001																
First Name and Inventor	Pruitt																
Group Art Unit	2164																
Examiner Name																	
Attorney Docket Number	6476/53629																
<div> <div>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</div> <div>(use as many sheets as necessary)</div> </div>																	
Sheet	1	of	1														

[illegible]

Examiner Signature	/Susanna M. Diaz/	Date Considered	04/02/2007
--------------------	-------------------	-----------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231